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Express Mail No.: EL 501 640 613 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Müller, Ulrich

Application No.: 09/842,438

Group Art Unit: 2163

Filed: April 26, 2001

Examiner: Not yet assigned

For: METHODS FOR DETERMINING  
VALUE AT RISK

Attorney Docket No.: 10366-010

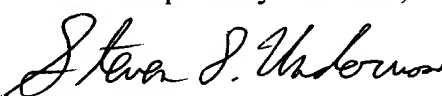
**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

In response to the Notice To File Missing Parts Of Nonprovisional Application mailed on June 19, 2001, a copy of which is enclosed, applicants submit herewith, pursuant to 37 CFR 1.63 and MPEP § 201.06(c), a Declaration for Non-Provisional Patent Application executed by the inventor, along with a Power of Attorney executed by an authorized officer of the assignee, and a Verified Statement Claiming Small Entity Status. An Assignment from the inventor to the assignee is simultaneously being submitted under separate cover to Box Assignment.

The fee for the submission of this response is estimated to be \$65 (small entity). Please charge all required fees to Pennie & Edmonds LLP Deposit Account No. 16-1150.

Respectfully submitted,

Date July 13, 2001 (Reg. No. 47,205)  
24,615

For Francis E. Morris

Reg. No.

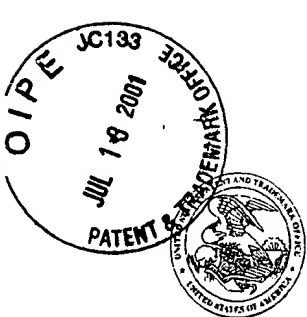
**PENNIE & EDMONDS LLP**

1155 Avenue of the Americas

New York, New York 10036-2711

(212) 790-9090

Enclosures



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/842,438         | 04/26/2001          | Ulrich A. Muller      | 10366-010              |

20583  
PENNIE AND EDMONDS  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 100362711

CONFIRMATION NO. 7498

## FORMALITIES LETTER



\*OC00000006198977\*

Date Mailed: 06/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice MUST be returned with the reply.*

*7/18/2001*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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07/18/2001 MYUSUF1 00000026 161150  
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